



Sharing for Performance Excellence EFCOG April 25 & 26, 2006



Systems Performance Monitoring & Reporting



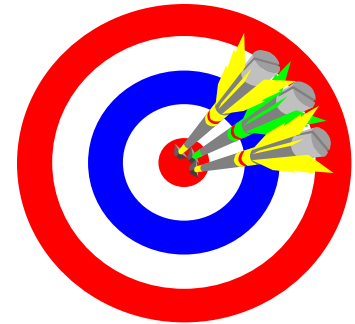
Brookhaven Science Associates
U.S. Department of Energy

Roy H. Lebel



Presentation Outline

- A little about Brookhaven National Laboratory
- Aligning ORPS to System Performance
- Systems Performance Monitoring and Reporting
- Discussion
 - Successes/failures and future challenges

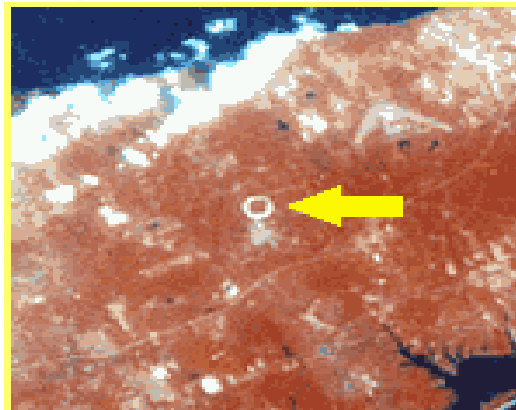


Where is Brookhaven National Lab?



Where is Brookhaven National Lab?

Long Island NY



Brookhaven Science Associates
U.S. Department of Energy

Brookhaven National Laboratory- NY-USA



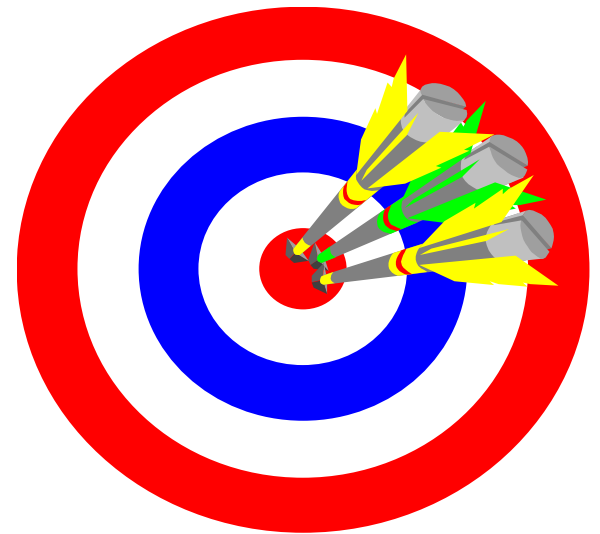
Corporate Park Structure

Brookhaven Science Associates
U.S. Department of Energy

Can WE???????

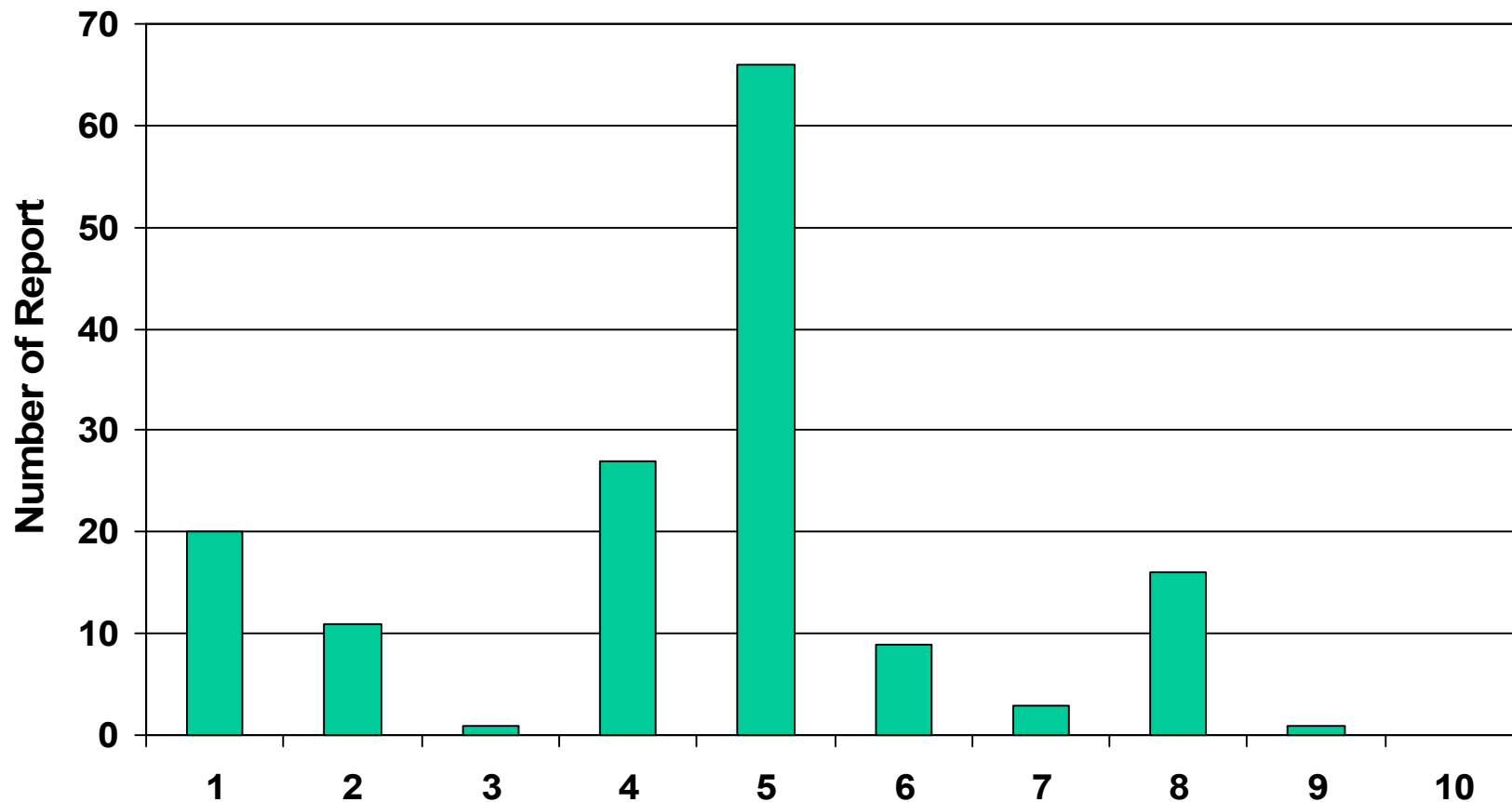
- Answer the DOE headquarters mail regarding Individual Program Performance:
 - Quality Assurance
 - Integrated Safety management
 - Environmental management
 - ETC.

YES WE CAN



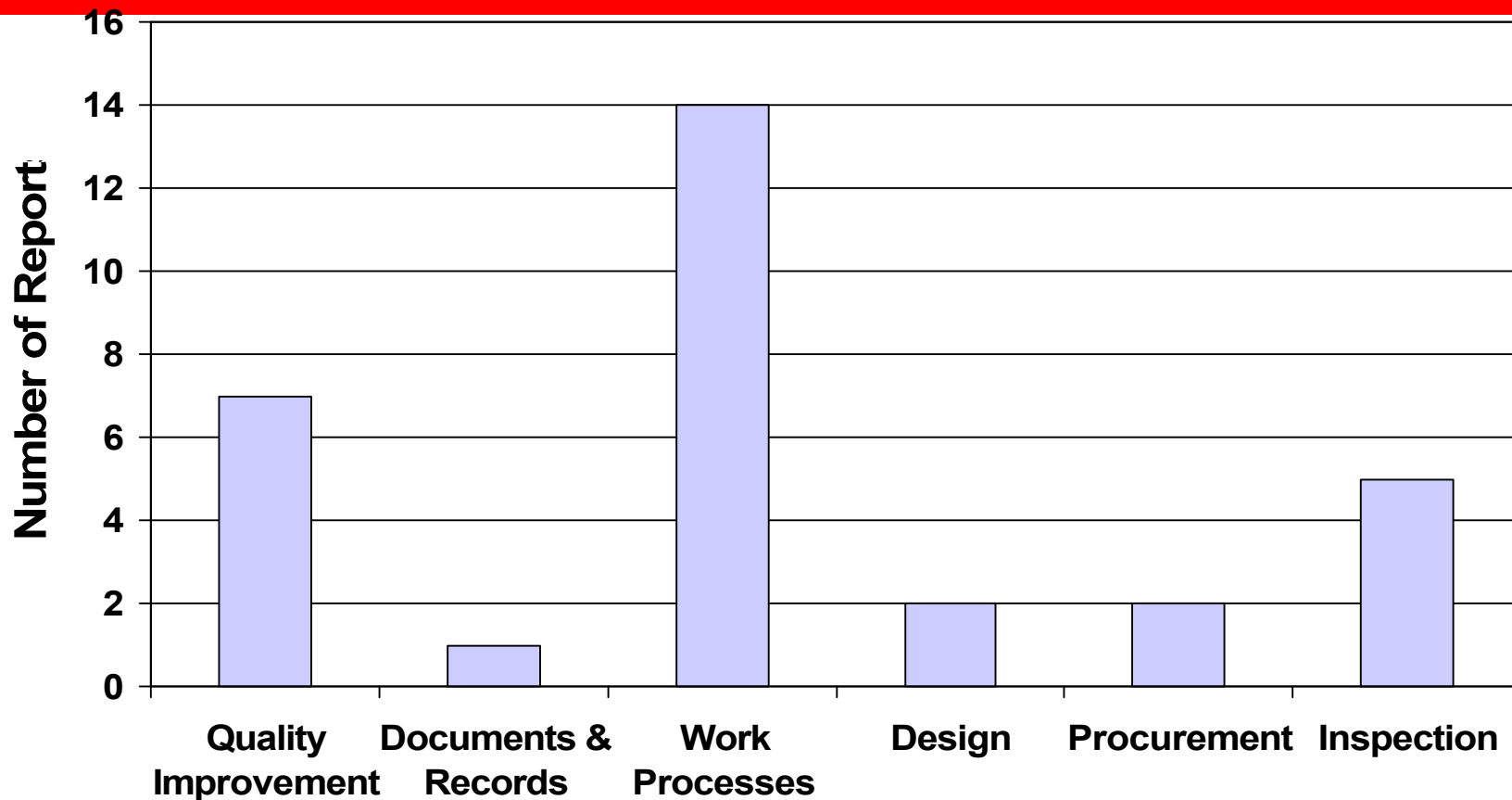
Lets use BNL as an Example

BNL: ORPS vs. QA Criteria from Cause Codes (CY 2004 - 2006)



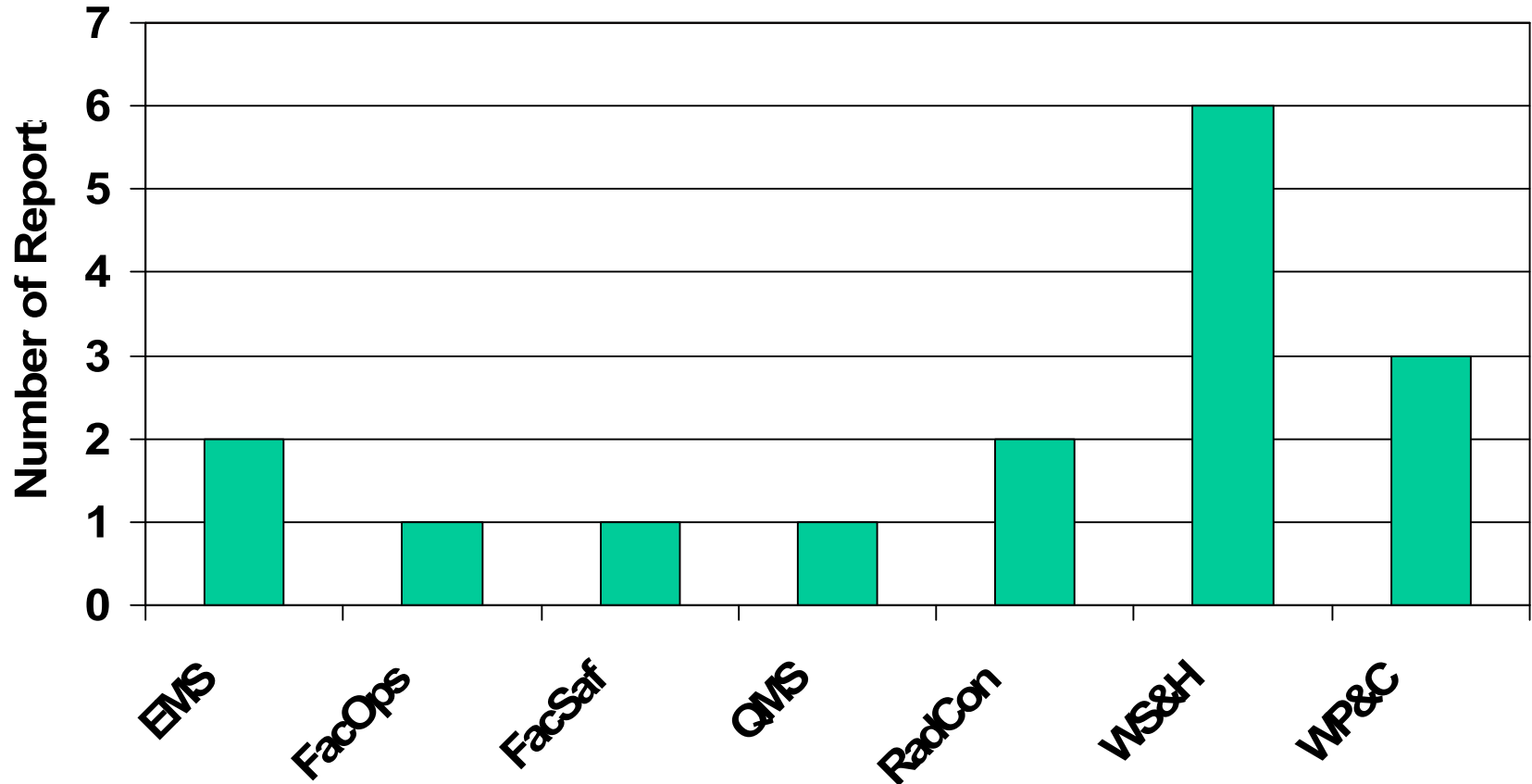
Note: Multiple Cause Codes per ORPS (71 Reports)

BNL: ORPS vs. QA Criteria (FY2006)



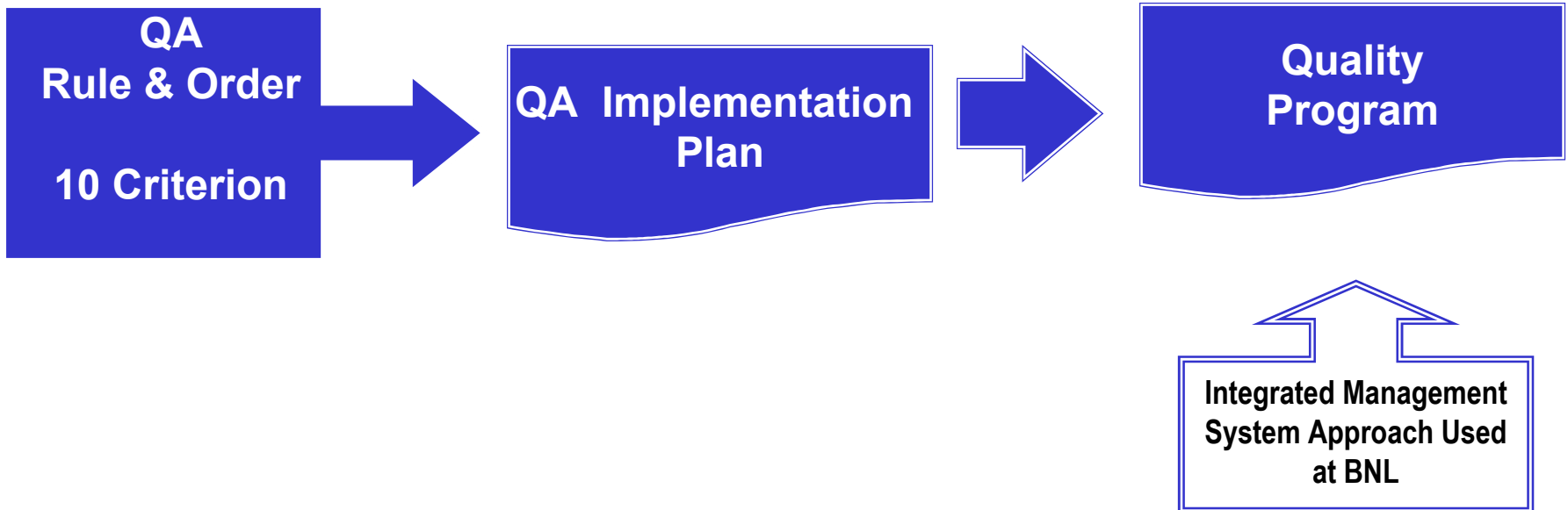
Note: Multiple QA Criteria selected per ORPS (16 Reports)

BNL: ORPS vs. MS (FY 2006)



Note: One Management System selected per ORPS (16 Reports)

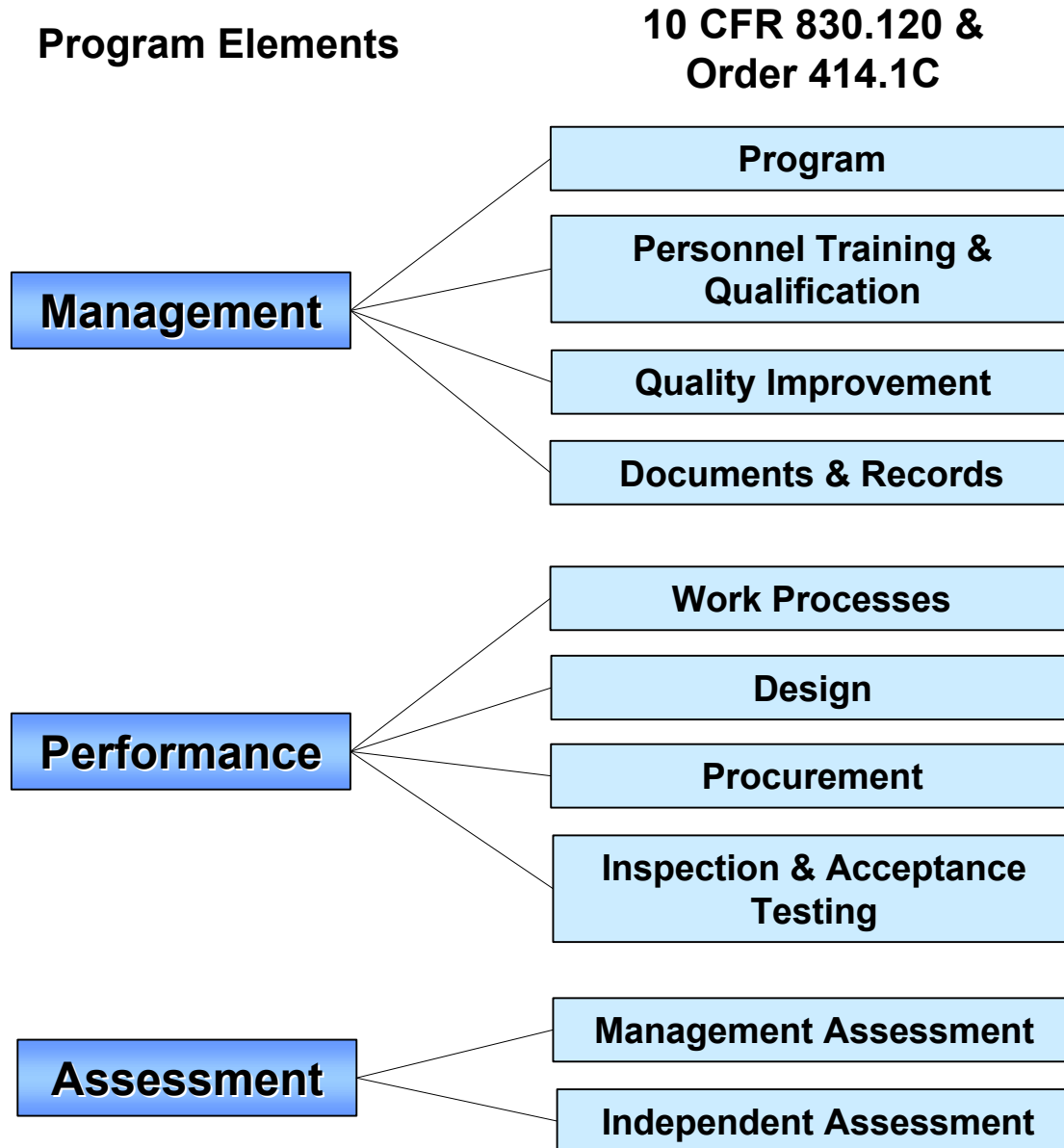
What is Common



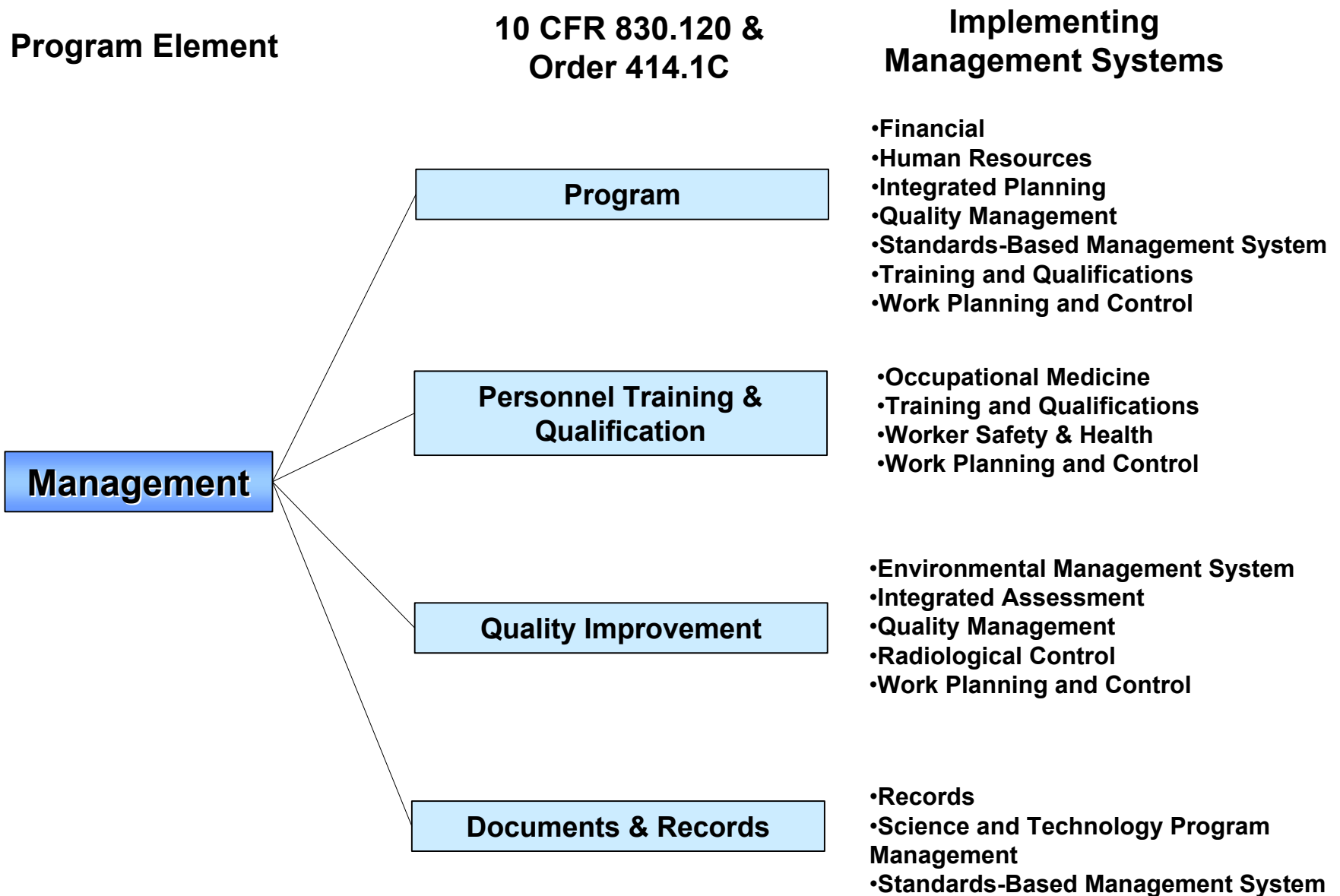
Management Systems-Based Approach

- BNL's primary functions and processes captured in 34 Management Systems (MS).
- Each BNL MS has an assigned "Steward" - typically a Level 1 manager or above.
- Each Steward has identified a number of high risk events.
- Each Steward has also identified functions and processes within their MS that serve as "barriers" to these events.
- These "barrier processes" are given high priority in performance measurement, self-assessment and external assessments.
- *The BSA assurance process will focus on these "barrier processes" within BNL's management systems by focusing on MS performance.*

Ten Quality Assurance Criteria



Ten Quality Assurance Criteria



What else is Common?

Performance Measurement

Contractor Assurance
DOE O 226.1
Corporate Assurance
Contract Clause I.76
Performance Measures
PEMP

Systems Performance

BNL Level:

Quarterly Performance Measurement

Presentation to BNL's Senior Leadership Team

- **Organized by Management System**
- **Contents include:**
 - Contract Critical Outcome Performance status
 - **Management System Performance**
 - Steward's dashboard assessment of MS performance
 - Major events and occurrences - **ORPS**
 - DOE feedback
 - Significant assessments/reviews/audits and summary results
 - Brief narrative description of issues and management response

Brookhaven National Laboratory

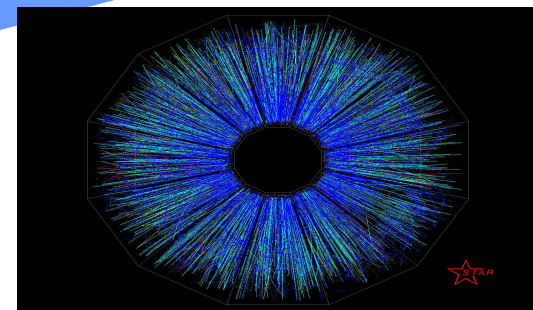


Fiscal Year 2006



Brookhaven Science Associates Second Quarter Performance Summary

**Presentation
to Policy Council
April 18, 2006**



Agenda

1

M&O Performance Measures and Targets

- Summary of Performance Measures and Targets
- Specific Status of Metric
- Objectives for Third Quarter
- Issues
- Other Areas of Notable Performance

2

Management System Performance

- Assessment Status/Results
- FY2006 Planned Assessments
- Accomplishments
- Objectives for Third Quarter
- Issues

Quality System Performance

GREEN = MS is complete:

- Processes and procedures are adequately defined and established to protect the institution from significant risk.
- Major milestones/planned improvements are achievable with current resources.
- No impending requirements or conditions will represent significant institutional vulnerabilities.
- The results of Performance measures and/or assessments indicate a well-functioning, compliant system, with only minor improvements needed.

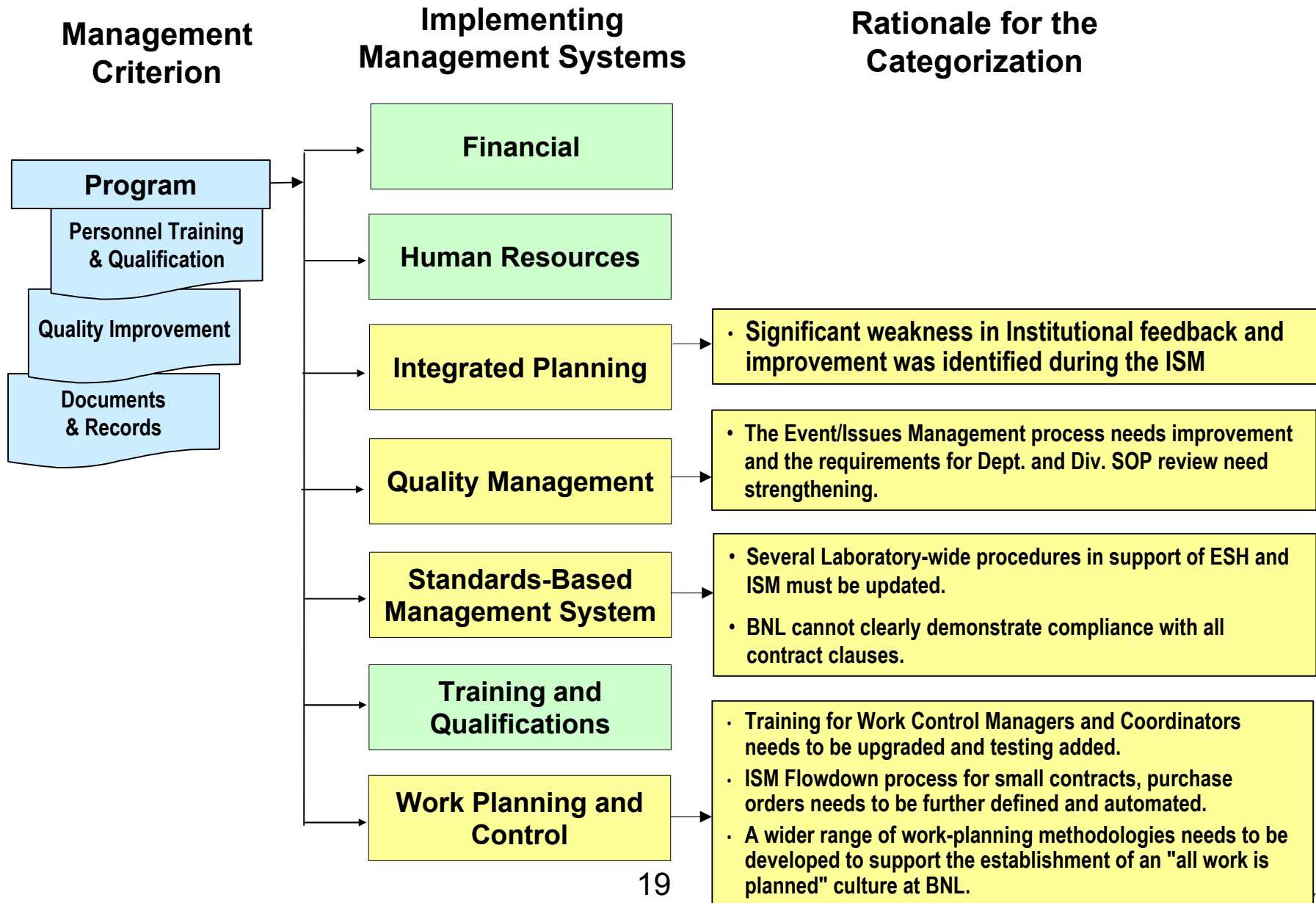
YELLOW = MS lies between Red and Green:

- Definition and/or implementation of processes and procedures is less than adequate, which may damage the Laboratory's reputation, result in fines or significant loss in fees, or other recognized risk.
- Major milestones/planned improvements have been/or will be missed; however, they can be completed with current resources.
- Impending requirements or conditions may entail significant institutional vulnerabilities.
- The results of Performance measures and/or assessments indicates a need for specific improvements.

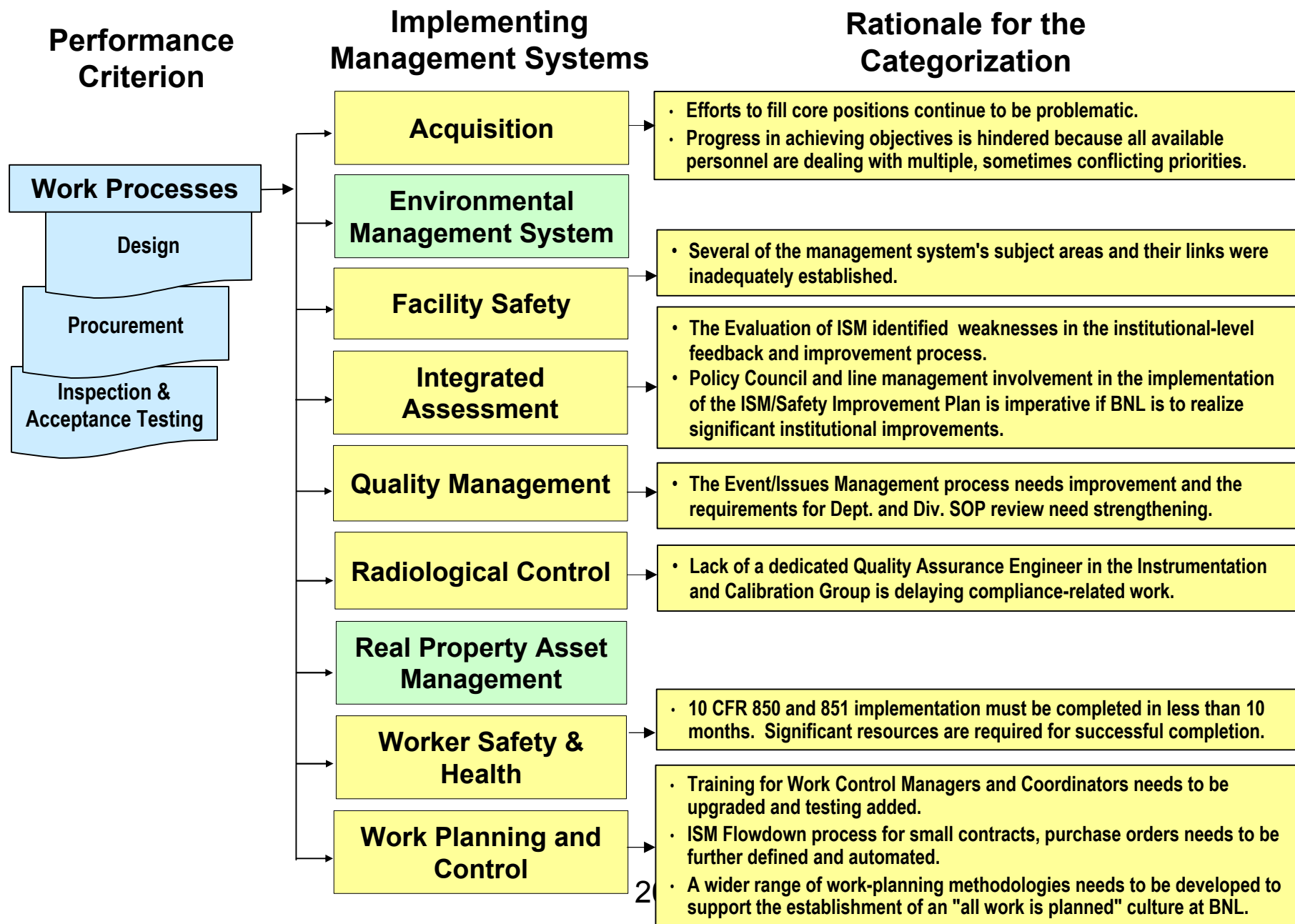
RED = MS is incomplete:

- Definition and/or implementation of processes and procedures are inadequate and will likely result in damage to the Laboratory's reputation, fines or significant loss in fees, or other recognized risk.
- Major milestones/planned improvements have been/or will be missed and cannot be completed with current resources.
- Impending requirements or conditions will entail significant institutional vulnerabilities
- Results of Performance measures and/or assessments indicate systematic weaknesses and require the immediate attention of managers.

FY2006 Second Quarter Performance Summary – Quality Assurance Criteria



FY2006 Second Quarter Performance Summary – Quality Assurance Criteria



Work Planning & Control

Management System Assessment:

Dashboard Condition:

Steward's Assessment:

- The Training & Qualifications requirements for Work Control Managers and Coordinators is not explicitly defined; training needs to be upgraded and testing added.
- An ISM Flowdown process for small contracts, and purchase orders needs to be further defined and automated.
- A wider range of work-planning methodologies must be developed to support the establishment of an "all work is planned" culture at BNL. Feedback needs improvement.

Accomplishments:

- An ISM Flowdown process for small contract and purchase orders was developed and presented to Work Control Managers; their comments are being incorporated
- Work Control Managers (WCMs) and Work Control Coordinators (WCCs) were given a checklist to be used to develop organization-specific training & qualifications required for these jobs.
- Chris Johnson, Deputy Manager, Plant Engineering Operations & Maintenance Group agreed to serve as WP&C Management System Point-of-Contact.
- A Causal Analysis was performed on the WP&C finding in the Dec 2005 ISM Assessment Report and corrective actions developed.

Accomplishments (cont.):

- The WCMs prioritized the feedback from the FY 2005 Management System Self-Assessment.

Assessments First and Second Quarters:

- The ISM Assessment Report December 05 - All of the findings from the FY05 management systems self-assessment were validated. Additional recommendations included WP&C communications issues.
- Two senior management's work observations (Change-out of Filter – Forklift Operations, Target Processing Lab Operations) reported proper planning of work, appropriate control of hazards, and effective performance.
- An IA&O review of the effectiveness of corrective actions in resolving material-handling findings reported a mixture of results for work performance; in some areas work was done extremely well, but in others, improvement was needed.

Corrective Actions Slated for third QTR:

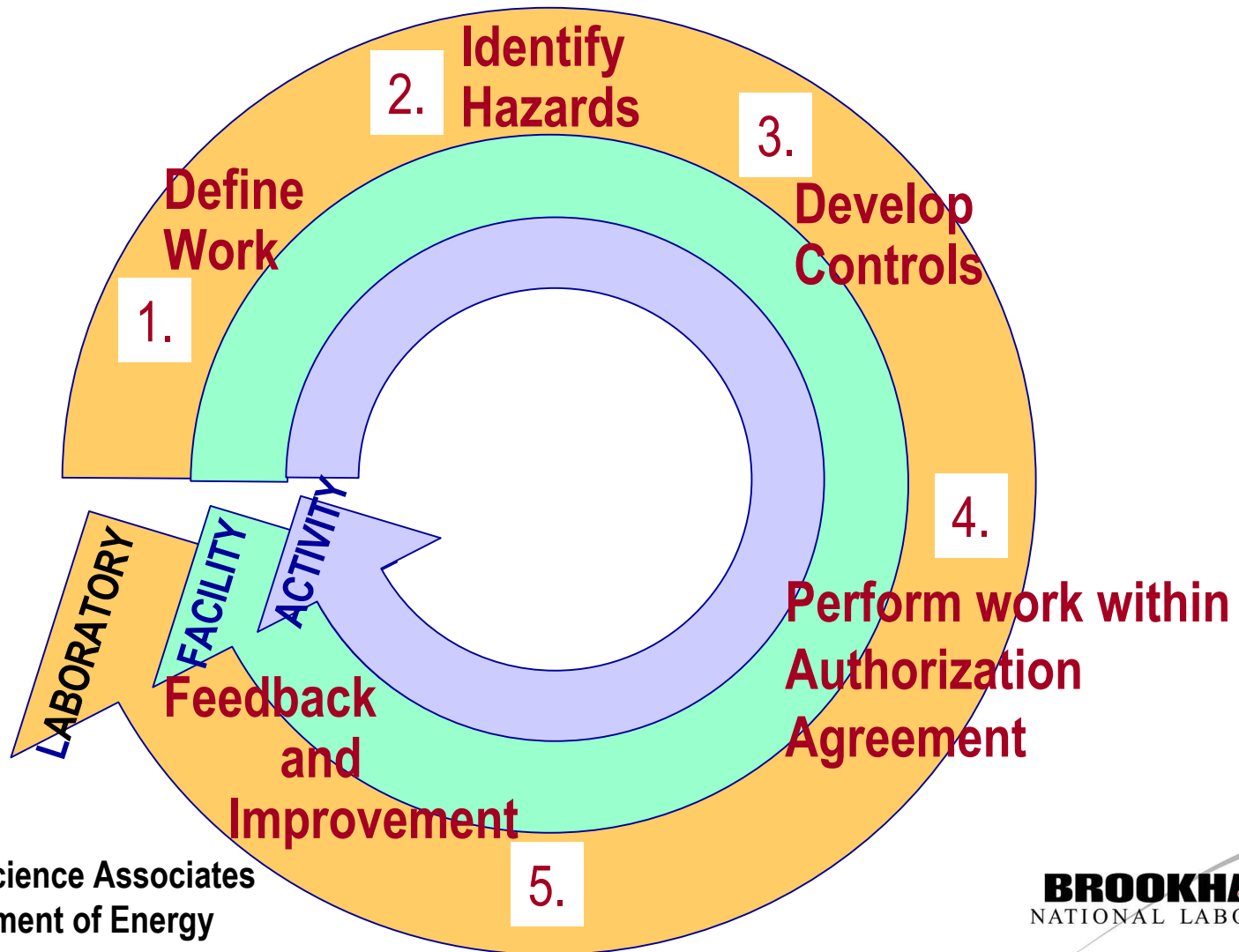
- Incorporate WP&C upgrades into the ISM/Safety Improvement Plan
- Implement the upgrades to the ISM Flow-down process
- Upgrade training for WCM and WCC

Emerging Issues:

- Three Occurrences (ORPs) have been attributed to this Mgt Sys.

ISM & The Five Core Functions

A reminder that the work process is cyclic on all levels.



Integrated Safety Management System

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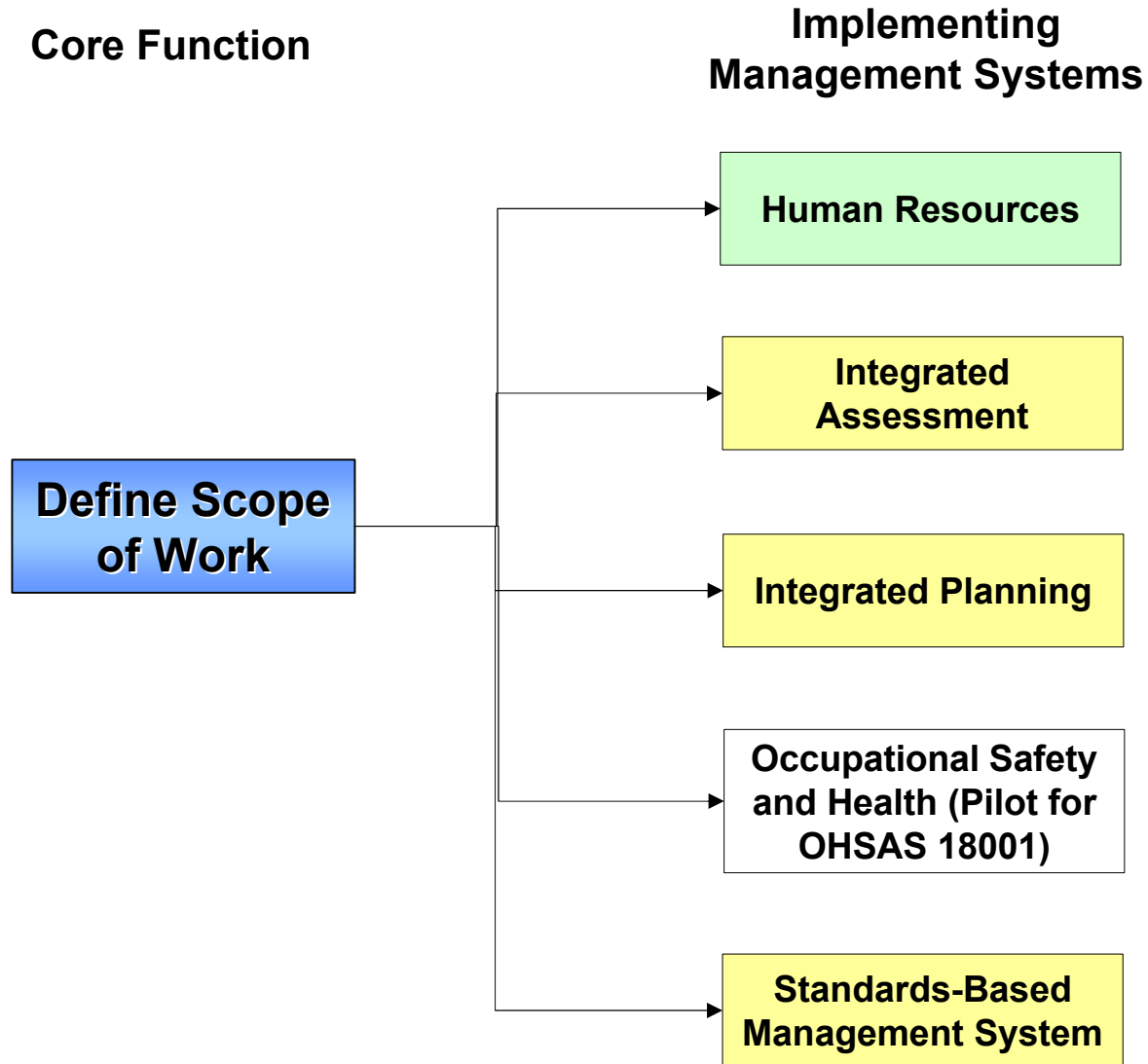
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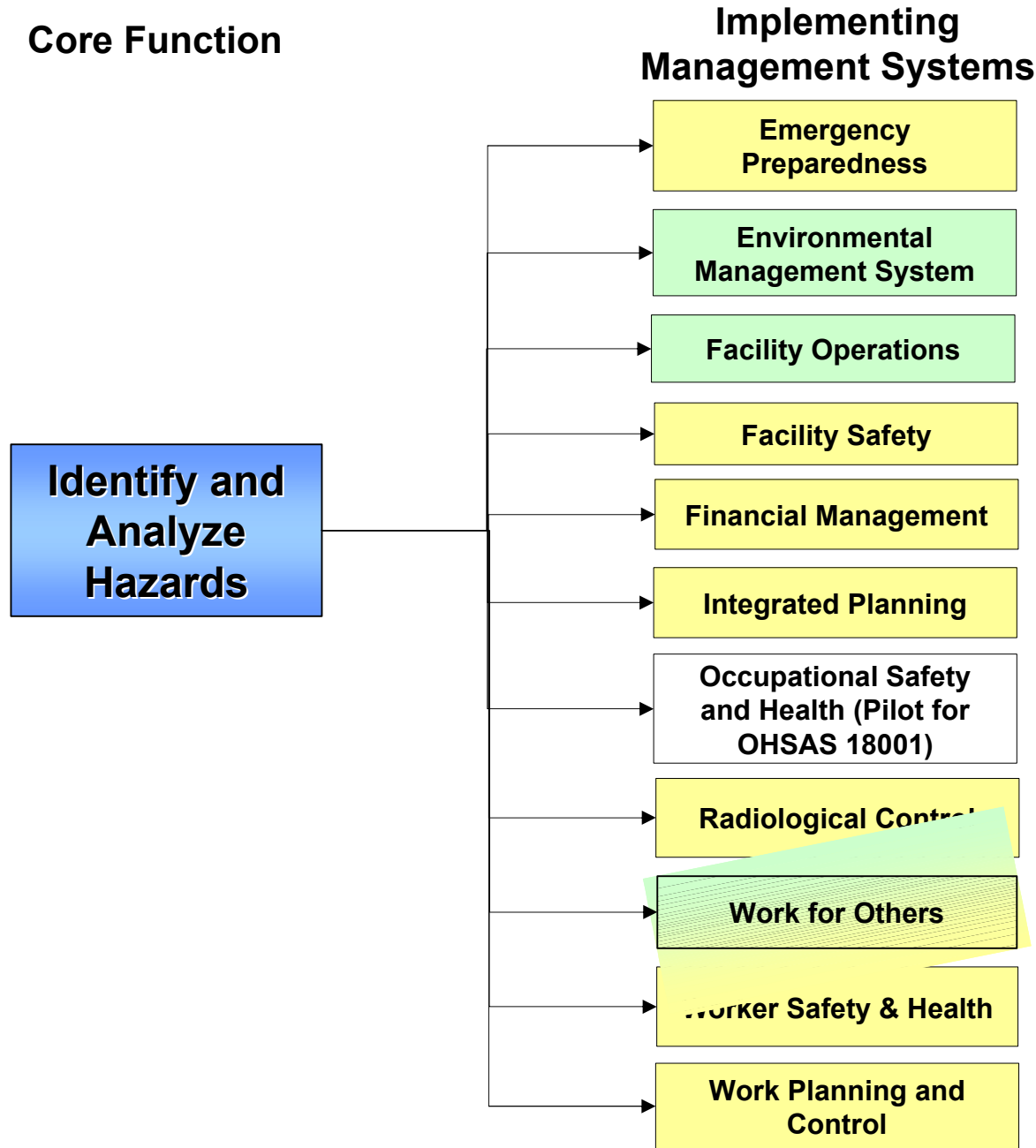
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Five ISM Core Functions



Five ISM Core Functions



In Summary

One System for Institutional Performance

Can answer the Mail

Requirements

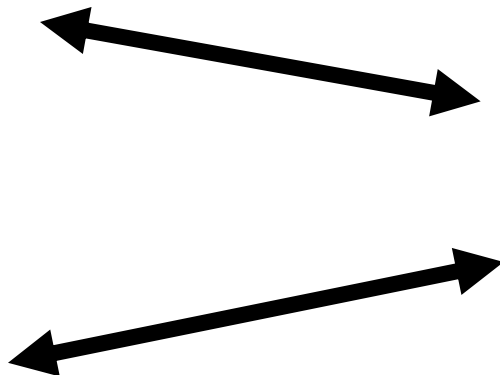
Contractor Assurance

Corporate Assurance

Program Reporting

QA
Radcon
ISM
EMS
ETC.

QUARTERLY
Performance measurement
& Reporting



Summary

Successes & Failures

Discussion

Future Challenges

